

*See OK / \$*



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of: William F. Walsh

Serial No.: 09/588,389

Group No.: 2761

Filed: June 6, 2000

Examiner: not yet assigned

For: METHOD, APPARATUS, AND COMPUTER-BASED PROGRAM FOR  
EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT

I, Evelyn H. McConathy, Registration No. 35,279, certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on October 4, 2000.

*Evelyn H. McConathy*

BOX MISSING PART  
Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION--  
FILING DATE GRANTED and PETITION FOR EXTENSION OF TIME**

In reply to the "Notice to File Missing Parts of Application-Filing Date Granted" mailed August 17, 2000 a response to which is due October 17, 2000 enclosed are the following:

- ☒ [X] Copy of the Notice to File Missing Parts of Application--Filing Date Granted (Form PTO-1533).
- ☒ [X] Declaration and Power of Attorney executed by the inventor(s).
- ☒ [X] Statement Claiming Small Entity Status Under 37 CFR 1.9 and 1.27.
- ☐ [ ] Petition to Correct Name(s) of Inventor(s) submitted on Filing under 37 CFR 1.51(a)(1) and 1.41(a)(1).
- ☐ [ ] Request is hereby made under 37 CFR 1.136(a) to extend the time for response to the "Notice to File Missing Parts of Application--Filing Date Granted" of \_\_\_\_\_ to and through \_\_\_\_\_ comprising an extension of the shortened period of \_\_\_\_\_ months:

	Other Than Small Entity	Small Entity
One Month	__ \$ 55	__ \$ 110
Two Months	__ \$ 195	__ \$ 395
Three Months	__ \$ 445	__ \$ 890
Four Months	__ \$6950	__ \$1,390

Applicants have not been notified that the requested extension will not be permitted. The present application is not involved in an interference declared pursuant to 37 CFR §1.207.

☒ The following fees are enclosed to cover the:

<input checked="" type="checkbox"/> Surcharge	\$ 65.00
<input type="checkbox"/> Extension of Time	\$
<input checked="" type="checkbox"/> Statutory Basic Filing Fee	\$355.00
<input checked="" type="checkbox"/> Additional claim fees including multiple dependent claims	\$ 84.00
<input type="checkbox"/> Petition under 37 CFR 1.51(a)(1) and 1.41(a)(1)	\$

**Total Amount Due: \$504.00**

- ☐ Please charge the surcharge to my Deposit Account No. \_\_\_\_\_ in the amount of \$\_\_\_\_. This sheet is attached in duplicate.
- ☒ Please charge any deficiency or credit any overpayment to Deposit Account No. 50-0979.

Respectfully submitted,

Evelyn H. McConathy  
Evelyn H. McConathy  
Registration No. 35,279

Date: October 4, 2000

DILWORTH PAXSON LLP  
3200 Mellon Bank Center  
1735 Market Street  
Philadelphia, PA 19103-7595

**PCT APPLICATIONS DESIGNATING THE U.S.**

PCT APPLICATION NO.	PCT FILING DATE	U.S. APPLICATION SERIAL NOS. ASSIGNED (IF ANY)

**35 U.S.C. § 119 PRIORITY CLAIM, IF ANY,  
FOR ABOVE-LISTED U.S./PCT APPLICATIONS**

**DETAILS OF FOREIGN APPLICATION FROM WHICH PRIORITY  
CLAIMED UNDER 35 U.S.C. § 119**

ABOVE APPLICATION NO.	COUNTRY AND APPLICATION NO.	DATE OF FILING (DAY/MONTH/YEAR)	DATE OF ISSUE (DAY/MONTH/YEAR)

009090" 63E88560

## FORMALITIES LETTER



\*OC00000005331222\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/588,389	06/06/2000	William F. Walsh	22830-67061

John F Letchford Esquire  
Dilworth Paxson LLP  
3200 Mellon Bank Center  
1735 Market Street  
Philadelphia, PA 19103-7595



Date Mailed: 08/17/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 690 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$168.
  - \$90 for 5 total claims over 20.
  - \$78 for 1 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 988.**

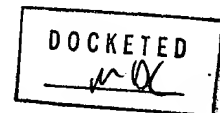
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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



10/12/2000 BHABTEW 00000067 500979 09588389

01 FC:201		355.00 OP
02 FC:205		65.00 OP
03 FC:203		45.00 OP
04 FC:202	1.00 CH	39.00 OP

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR §§ 1.9(f) and 1.27(b)) -- INDEPENDENT INVENTOR**

Applicant, Patentee or Identifier: William F. WalshApplication Serial No. or Patent No.: 09/588,389Filed or Issued: June 6, 2000Title: **METHOD, APPARATUS AND COMPUTER-BASED PROGRAM FOR  
EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT**

As below-named inventor, I hereby state that I qualify as an independent inventor as defined in 37 C.F.R. § 1.9(c) for purposes of paying reduced fees to the U.S. Patent and Trademark Office described in:

- ☒ the specification filed herewith with title as listed above.  
☐ the application identified above.  
☐ the patent identified above.

I have not assigned, granted, conveyed, or licensed, and am under no obligation under contract or law to assign, grant, convey, or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

\_\_\_\_\_

\_\_\_\_\_

☒ No such person, concern, or organization exists.

Separate statements are required from each named person, concern, or organization having rights to the invention stating their status as small entities. (37 CFR § 1.27).

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time or paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR. § 1.28(b)).

William F. Walsh  
NAME OF INVENTOR

*William F. Walsh*  
SIGNATURE OF INVENTOR

09/29/2000  
DATE

\_\_\_\_\_  
NAME OF INVENTOR

\_\_\_\_\_  
SIGNATURE OF INVENTOR

\_\_\_\_\_  
DATE

\_\_\_\_\_  
NAME OF INVENTOR

\_\_\_\_\_  
SIGNATURE OF INVENTOR

\_\_\_\_\_  
DATE

**COMBINED DECLARATION AND POWER OF ATTORNEY**

(ORIGINAL, DESIGN, NATIONAL STAGE OF PCT, SUPPLEMENTAL, DIVISIONAL,  
CONTINUATION, OR C-I-P)

As a below-named inventor, I hereby declare that:

**TYPE OF DECLARATION**

This declaration is of the following type:

- ☒ original
- ☐ design
- ☐ supplemental
- ☐ national stage of PCT
- ☐ divisional
- ☐ continuation
- ☒ continuation-in-part (C-I-P).

**INVENTORSHIP IDENTIFICATION**

My residence, post office address and citizenship are as stated below next to my name. I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHOD, APPARATUS AND COMPUTER-BASED PROGRAM FOR EXCLUSIVE INVESTMENT OF DEBENTURE CREDIT** the specification of which:

- (a) ☐ is attached hereto **OR**
- (b) ☒ was filed on June 6, 2000 as United States Application Serial Number 09/588,389 and was amended on \_\_\_\_\_ (if applicable)
- (c) ☐ was described and claimed in PCT International Application Number \_\_\_\_\_, filed on \_\_\_\_\_ and as amended under PCT Article 19 on \_\_\_\_\_ (if any).